INsPIRE

Innovative Governance Practices
in the Higher Education Institutions

DOCUMENT TITLE:

Diagnostic tool

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UNIMED, Mediterranean Universities Union

About INsPIRE

The overarching goal of INsPIRE is to support, through the cooperation of European institutions, the rebuilding, modernization, and internationalization of the governance system of higher education institutions (HEIs) in Iraq with a specific focus on planning and programming systems. Due to the recent crisis and political economic situation, the current higher education system requires a strong intervention to face the weakness of the existing governance system. To institutionalize good governance practices in Iraqi HEIs, which also means enforcing institutional values such as autonomy, accountability, participation, and internationalization, as well as implementing well-structured management systems, will contribute to the development of Iraqi HIEs helping them to meet the international standards.

The aim of the project is to support HEIs in Iraq in order to make them capable of establishing a modern governance framework through the adoption of innovative practices. The **specific objectives** of INsPIRE are the following:

- Enhancing good governance, management and accountability practices in the HEIs
- Establishing a clear governance framework, including well-defined and clear mission and goals through the definition and implementation of action plans
- Strengthening the international relations management within the HEIs
- Improving participation in strategic planning and development activities for non-university actors and non-state actors

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Project Partners

- University of Siena, Italy (coordinator)
- Bologna University, Italy
- Evora University, Portugal
- Aydin Istanbul University, Turkey
- UNIMED- Mediterranean Universities Union, Italy
- University of Mosul
- University of Baghdad
- University of Basrah
- Al-Furat Al-Awsat Technical University
- University of Sumer
- Al-Qasim Green University
- University of Basrah Oil and Gas
- Al Karkh University for Science
- Southern Technical University
- Wasit University
- Ministry of Higher Education and Scientific Research in Iraq

Document Information

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Responsible Author(s)	Martina Zipoli Silvia Marchionne Marco Di Donato Federica De Giorgi
Abstract (for dissemination)	The D1.2 reports on the tool used to conduct the assessment of Iraqi governance practices and provide an overview of needs, gaps and point of strengths in each Iraqi HEI.

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Self-assessment on governance dimensions

In the framework of the project INsPIRE, the 10 Iraqi universities of the Consortium performed a self-assessment on governance, that is an evaluation of key governance dimensions through the perceptions of the staff working at the university in strategic positions.

The Diagnostic Tool used in INsPIRE is an adaptation of the Diagnostic Tool developed by the coordinating institution, the University of Siena, for the project UNIGOV, Improving Governance Practices and Palestinian Higher Education Institutions. The tool has been developed by the DISAG Department of the University of Siena who was the leader of the WP1.

To cope with the current situation related to the COVID-19 pandemic, which prevented Partners from travelling to Iraq, the Diagnostic Tool was adapted into an online questionnaire using a digital tool for data collection. The reason was to facilitate the filling of information on behalf of the Iraqi partners and ease the analysis of statistical data on behalf of the UNIMED team, responsible for the Work Package 1 Update of Needs Analysis. The rationale behind the tool has been maintained, structuring the questionnaire to allow an assessment of each governance dimension in relation to each strategic activity.

The INsPIRE Diagnostic Tool was developed based on the findings of the literature review and the HEI governance models analyzed, it is designed as a matrix where the horizontal axis shows the strategic activities of each HEI (TEACHING, RESEARCH and the so- called THIRD MISSION) while the vertical axis shows the different dimensions (AUTONOMY, ACCOUNTABILITY, MANAGEMENT TECHNIQUES and PARTICIPATION) and subdimensions characterizing the issue of governance.

Each university involved about 8 to 10 staff members covering strategic roles (the Rector, the Vice-Rectors, the General Director, Heads of departments, etc). They were asked to evaluate governance looking at the degree of autonomy in taking decisions on organizational, academic and financial aspects, the extent to which they are free to decide about human resouces management, the effectiveness of the institution in using management tools such as quality assurance procedures and planning tools; the capacity of the institution to use evaluation results to inform decisions; the degree of accountability of the university, and the degree of participation of internal and external stakeholders in the decision-making process and in the overall the institutional life.

More than 80 answers were collected from Iraqi HEIs, with a response rate ranging from 6 to 14 responses per each institution to the self-evaluation questionnaire. Participants were Rectors, Vice-Rectors, Heads of departments (QA, International Relations, Finance), the project focal point, etc. The sessions reiterated the great commitment that Iraqi universities have towards the project and their willingness to contribute to results achievement. A few obstacles were encountered: sometimes translation was needed due to the difficulties with English knowledge and in some cases respondents showed reluctance in sharing perceptions about sensitive issues. It was therefore very beneficial to have arranged bilateral sessions to clarify the rationale behind the assessment, explain concepts, discuss indicators and confirm anonymity of answers. It was also a great occasion for

UNIMED to get to know better the Partner universities and collect additional inputs for the WP1 Report and the analysis of the HE sector.

The self-evaluation allowed to identify needs, weakness and limits but also to be aware of priorities and strengths of each university involved in the project. It allowed University Leaders (at different levels) to identify the dimensions and subdimensions of governance in need for improvement, starting from a self-evaluation of current governance arrangements at each HEIs. Moreover, it is as an instrument for universities to evaluate the impact and effectiveness of future developments, in comparison to how things function today. The results of the analysis, together with the results of all the activities conducted in the framework of the Work Package 1 of the INsPIRE project, are presented in a final Report on the needs of the Iraqi HE system.

How has the self-assessment taken place

A coordination meeting was held on March 18th 2021 by UNIMED with the contact persons at each Iraqi university to coordinate the self-assessment and clarify each step of the process. Then, a dedicated document complemented the preparation to the self-evaluation exercise, providing Partners with guidance in the process. UNIMED arranged 10 bilateral meetings with each institution, between March 23rd and April 1st 2021, to conduct the self-assessment with ongoing real-time support to immediately clarify doubts and ensure a correct interpretation of concepts and information. At the very end, all answers by each institution were put together to have a comprehensive picture of the governance in each university of the project. Then a comparative analysis is conducted to identify needs and priorities for the HE system in Iraq as a whole.

The self-assessment was conducted in different steps:

1) First Partners are asked to prioritize goverance dimensions, to allow for the creation of a wheight system and the identification of the aspects deemed more relevant (priority factors)
2) Second, the self-evaluation is conducted online by each Partner University in Iraq, involving 8 to 10 staff members covering strategic roles at the university, such as: the Rector, two Vice-Rectors, the General Director in charge for administrative and financial management, the Director of the International Relations office, the Director of the Quality Assurance office, Director of the department of Studies and Planning, Director of the Finance department. The self-assessment is conducted on 3 governance dimensions (AUTONOMY, MANAGEMENT TECHNIQUES, ACCOUNTABILITY), with subdimensions and specific indicators.
3) An assessment of the PARTICIPATION dimension is carried out, which allows the identification of relevant stakeholders in relation to each specific dimension and activity, resulting in a stakeholder's map describing to what extent these stakeholders take part in the institutional life.

Calendar of the bilateral sessions

UNIVERSITY	DATE	TIME
University of Mosul	23 MARCH	9.00 – 11.00 CET 11.00 - 13.00 Iraqi time
University of Baghdad	1 APRIL	9.00 – 11.00 CET 11.00 - 13.00 Iraqi time
University of Basrah	24 MARCH (TBC)	9.00 – 11.00 CET 11.00 - 13.00 Iraqi time
Al-Furat Al-Awsat Technical University	31 MARCH	12.00 – 14.00 CET 14.00 – 16.00 Iraqi time
Sumer University	25 MARCH	9.00 – 11.00 CET 11.00 - 13.00 Iraqi time
Al-Qasim Green University	25 MARCH	12.00 – 14.00 CET 14.00 – 16.00 Iraqi time
University of Basrah Oil and Gas	29 MARCH	9.00 – 11.00 CET 11.00 - 13.00 Iraqi time
Al Karkh University for Science	29 MARCH	12.00 – 14.00 CET 14.00 – 16.00 Iraqi time
Southern Technical University	30 MARCH	9.00 – 11.00 CET 11.00 - 13.00 Iraqi time
Wasit University	30 MARCH	12.00 – 14.00 CET 14.00 – 16.00 Iraqi time

Explanatory document on the diagnostic tool

The document provides a general description of the diagnostic tool which will be used in the framework of the INsPIRE project to assess governance dimensions at the Iraqi HEIs. The main dimensions, subdimensions and indicators of governance are reported and explained, in relation to each strategic activity of the university, namely teaching, research and third mission.

The tool enables the identification of the preliminary training needs at the level of dimensions and subdimensions for improving governance arrangements, and allows universities to conduct a self-evaluation of current governance arrangements at the level of basic indicators.

The results of the combination of these two steps may help each HEI to drive the organizational changes required to improve governance systems.

Governance dimensions under examination

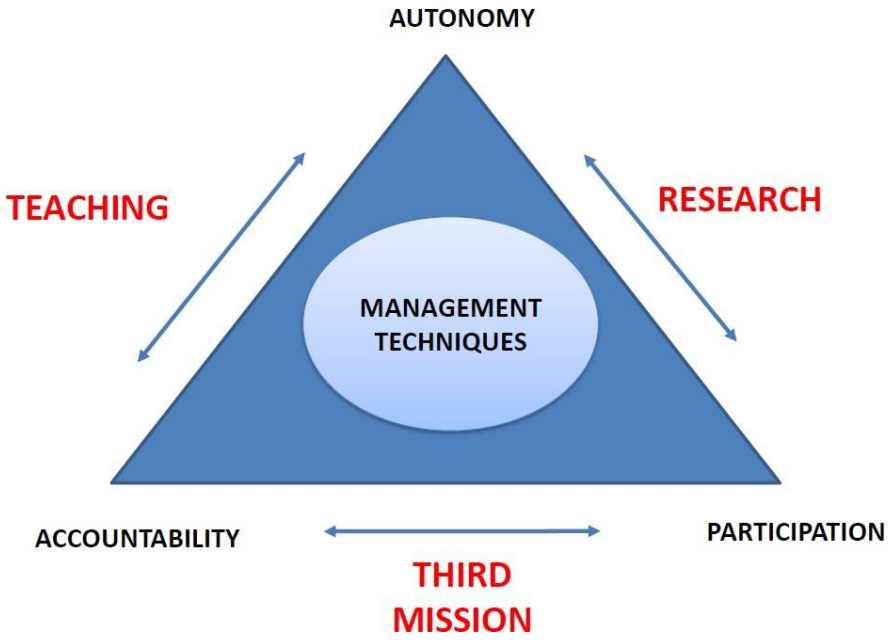
The following figure illustrates a general overview of the strategic activities and dimensions of each HEI. HEI activities have traditionally been understood as having two missions: **teaching and research**. In recent decades, HEIs have moved from focusing exclusively on these two missions, to be considered as key actors of economic and cultural growth, transforming themselves into institutions engaged with industry and society at large. For this reason, the concept of **'third mission'** emerged.

The concept of 'third mission' has a broad meaning, covering all those requirements that call for HEIs to play a much more visible and stronger role in the design of modern knowledge societies by providing socially, culturally and economically usable knowledge. Many different activities are included in the definition of 'third mission', with the focus on three main areas:

a) HEI-economy interaction in a broad sense, with relations with different stakeholders from the economic environment (technology transfer and innovation);
b) Social engagement and knowledge transfer: interactions between HEIs and society (such as museum management, dissemination activities, cultural events) with the aim of bringing about benefits for society;
c) Placement mechanisms for graduated students (e.g. student follow up, placement offices).

Activities and dimensions

Source: Elaboration of the University of Siena



The three strategic activities should be examined across the governance dimensions identified: Autonomy, Management Techniques, Accountability. Each dimension covers separate aspects

that are interrelated with each other but should be examined in a separate way.

DIMENSION	DIMENSION	DIMENSION	DIMENSION
AUTONOMY	ACCOUNTABILITY	MANAGEMENT TECHNIQUES	PARTICIPATION
To what extent the HEI is able to decide freely in relation to the central authority	To what extent the HEI is accountable to Or is held to be accountable by stakeholders	To what extent the HEI is able to effectively use managerial tools	To what extent stakeholders are engaged in strategic decision making

Each dimension is broken down into a number of subdimensions, each one highlighting a specific aspect related to the university governance. For the specific purpose of the self-assessment for the INsPIRE project, the following subdimensions are taken in consideration:

GOVERNANCE DIMENSIONS	SUBDIMENSIONS
AUTONOMY	Organizational autonomy Academic autonomy Autonomy in decision-making about Human Resources Financial autonomy
MANAGEMENT TECHNIQUES	Definition of Quality Assurance mechanisms Effective use of Performance planing tools Effective use of Evaluation results
ACCOUNTABILITY	Organizational accountability Academic accountability Human Resources accountability Financial accountability

Each subdimension provides specific indicators that should be investigated during the self-evaluation step. Indicators serve to point-out different tasks, activities or bodies to which

dimensions relate to. The following sections provide a detailed description of dimensions, subdimensions and specific indicators.

The self-evaluation of current governance arrangements will be realized at the level of the basic indicators, according to the a scale 1 to 5, where 1 is low and 5 is high. There is no right or wrong answer in the self-assessment, but it is a collection of perceptions on behalf of the university staff members.

Autonomy dimension

Autonomy concerns the relationship between each HEI and the central authority. It measures how freely HEIs can take decisions in the context of the rules and regulations that shape each higher education system. Autonomy can be examined according to four subdimensions:

Dimensions	Meaning	Subdimensions	Meaning
AUTONOMY	To what extent the HEIs is able to decide freely in relation to the central authority	Organisational	It refers to the degree of freedom in decision making on institution internal organisation.
		Academic	It refers to the degree of freedom in decision making on academic issues.
		Human resources	It refers to the degree of freedom in decision making on human resources management (HRM).
		Financial	It refers to the degree of freedom in decision making on financial issues.

Organisational autonomy

This encompasses two main aspects: governance and leadership model, and organisation of the internal structures at the university. It refers to the degree of autonomy of the institution in deciding upon its internal organizations, the function and composition of governing bodies, the selection and dismissal criteria for the members involved in the governing bodies.

The subdimensions and related indicators investigate to what extent national regulation have a say in the definition of the organizational aspects at the HEI and / or whether each HEI can define its own internal regulation about the organizational structure.

Academic autonomy

It refers to the degree of freedom in taking decisions on acadmic issues, in relation to the three strategic activities of the institution. Academic indicators with reference to teaching activity refer

to the decisions on the overall number of students, student's selection, introduction of new programs, design of course content and the choice of the language of instruction.

Academic indicators with reference to research activity are those reletated to the autonomy in deciding upon the defintion of research programs and the acquisition of research tool and tehcnical instruments (such as instruments for laboratories or software) that can be regulated by the central authority or freely managed by institutions.

Indicators in relation to the university Third Mission refer to the decisions related to the socio-economic activities managed by HEIs (such as museum management or medical laboratories, dissemination activities, etc), student follow-up mechanisms (mechanisms to monitor the employment of students after graduation), set-up of student placement office (office that offers students career advices and help in finding employment) that can be regulated by the central authority or freely managed by institutions. Central authorities may impose which kind of activities can be pursued or may impose time limits to these activities.

Human resources autonomy

Autonomy in decision-making about human resources management relates to the freedom in taking decisions about HR management. Indicators relate to human resources management for both academic and administrative staff. HR can be managed according to a strong dedicated regulation decided by national law and central administrative levels or can be freely managed according to internal rules (subject only to national labour regulation). Indicators relate to salaries and dismissal for academic and adminitrative staff involved in both teaching and research activities. For 'third mission' activities, the central authority may impose time limits for staff involvement or the decision may be at the institutional level, depending on the degree of autonomy granted to the university in decision.

Financial autonomy

Financial autonomy relates to the capcity of university to take autonomous decision in financial matters. Financial indicators refer to financial resources that can be provided by a central authority or can be freely obtained on the market through competitions mechanisms. The degree of autonomy related to financial resources (both for the typology of eligible funds and for resource allocation) may vary for the different activities of HEIs and include the capacity of the institution to attract funds.

Management techniques dimension

The management techniques dimension is related to the use of managerial tools for the governance and management of the overall organisation, tools which are supposed to replace, whenever possible, a bureaucratic approach linked to formal procedure fulfilment rather than result achievement. A well- developed management system should be aligned to strategic goals, that should in turn reflect social needs. The translation of mission and strategic goals into evaluable objectives and actions leads to possibility to assess the impacts of activities. From a practical point of view, the dimension is broken down into three subdimensions, each step being closely integrated with the others and the overall managerial approach.

The subdimensions related to Management techniques are the following:

Dimension	Meaning	Subdimensions	Meaning
MANAGEMENT TECHNIQUES	To what extent the HEis is able to effectively use managerial tools	Definition of Quality Assurance mechanisms	If refers to the degree of effectiveness in setting and quality procedures
		Effective use of performance planning tools	It refers to the degree of effetiveness in the use of planning tools
		Effective use of evaluation results	It refers to the degree of effetiveness in the use of evaluation results for decision-making

Management techniques – Quality assurance system

Quality assurance system refers to the use of standard procedures for managing the overall institutional system, both according to international standards and to the regulations of the national agency for accreditation and quality. In this section, the analysis focuses on the definition of criteria and procedures for quality assurance, to create standards to be used for all the activities carried out by HEIs (ex-ante).

Quality assurance system indicators with reference to teaching activities refer to the use of standard procedures for evaluation of academic courses and teaching methodologies, and for the evaluation of other academic issues such as student services and student performance.

Quality assurance system indicators with reference to research activities refer to the use of standard procedures for the design of research prgrams, and the acquisition of technical instruments and tools.

Quality assurance system indicators with reference to the university's Third Mission refer to the use of standard procedures for the realization of socioeconomic activities, for the students' follow-up, and the students' placement office management.

Management techniques – Performance planning tools

The evaluation on the planning system refers to the degree of effectiveness in the use of planning tools for the activities of the institution. Indicators refer to the effective use of planning tools in relation to the three core activities of the university, teaching research and third mission, such as the capacity to effectively desgin strategic documents with short-term and long-term goals, and the capacity to design effective budget documents with short-term operational goals.

Management techniques – Evaluation results

It refers to the degree of effetiveness in the use of evaluation results for decision-making (ex-post). Indicators refer to the effective use of the results of performance evaluations tot realise a fair and coherent decision-making process, both on insitutional overall performance and on individual employees. The evaluation should be based on the quality procedures and quality criteria set up by the quality assurance system.

Accountability dimension

The basic meaning of accountability can be outlined as an account-giving relation between individuals or organisations. In a public sector context, it plays a decisive role because it counterbalances the delegation of power from the central autority to institutions.

The more a system is centralized, the more institutions are less accountable – they simply comply with the decisions of the central authority. The more a system is decentralized, the more institutions must be accountable or held accountable for their own decisions. As long as universities gain autonomy from a central authority, they need to be accountable, i.e. responsible for their own decisions. Accountability also plays a fundamental role for private HEIs because of the competition mechanisms in relation to both resources acquisition and student (customer) satisfaction.

The dimension measures the degree to which the HEI is accountable to or is held to be accountable by stakeholders. It measures to what extent the institution is able to take responsibility and ensure transparency for the decisions taken.

The subdimensions related to Accountability are the following:

Dimensions	Meaning	Subdimensions	Meaning
ACCOUNTABILITY	To what extent the HEi is accountable to or is held to be accountable by stakeholders	Organisational	It refers to the degree of effectiveness in being accountable to or in being held to be accountable by stakeholders in organisational topics.
		Academic	It refers to the degree of effectiveness in in being accountable to or in being held to be accountable by stakeholders in academic topic.
		Human resources	It refers to the degree of effectiveness in being accountable to or in being held to be accountable by stakeholders in HR topic.
		Financial	It refers to the degree of effectiveness in being accountable to or in being held to be accountable by stakeholders in financial topic

Organisational accountability

It refers to the degree of effectiveness in being accountable on organisational issues, especially on those decisions about the organizational structure of the institution, the functioning of governing bodies and the compliance with the Mission and Vision of the instituion and the planning documents (i.e. strategic plans and goals). It applies in the same way to teaching, research and TM activities.

Academic accountability

This refers to the degree of effectiveness in being accountable for the decisions taken on academic issues. Academic indicators with reference to teaching refer to student performance, the provision and effectiveness of student services, the academic workload.

Academic indicators with reference to research activities refer to the accountability for research results (e.g. number publications/year, ranking publication/year) and the acquisition of research tools and technical instruments.

Academic indicators with reference to Third Mission of the university refer to the decisions taken on setting-up socioeconomic activities (e.g. museum management or dissemination activities), student follow-up, and the outcome of the students' placement office work.

Human resources accountability

Accountability in relation to human resources refers to the capacity of institutions to be accountable for the decisions taken in managing their staff, with a specific attetion towards the disemissal and promotion of both academic and adminitrative staff, as well as the implementation of punitive sanctions against unethical behavious.

Financial accountability

Accountability in financial matters refer to the capacity of institutions to be accountable for the decisions about funds allocation, budget sources and the debt level of the university. It strongly relates to the financial autonomy: the more the university is independent in taking decisions about financial allocation and funds sources, the more it is accountable for these decisions. The more a system is centralized, the more university have a low degree of accountability on specific financial decisions because these are taken directly by the central authority.

Participation dimension

Participation means the engagement of stakeholders in the overall HEI governance system. Different stakeholders can influence the decision-making process: internal stakeholders, meaning those internal at the institution; and external stakeholders, meaning those acting in the environment in which the university operates.

According to R. Edward Freeman, a stakeholder is "any group or individual who can affect or is affected by the achievement of the organisation's objectives". The study uses the concept of stakeholder to mean all those bodies that have an interest in the activities of the given organisation. Stakeholders have been considered as those organisations, networks and private people who are able to influence the objectives and activities of the organisation (Kettunen 2014).

From this perspective, a first general distinction is made between internal and external stakeholders. Internal stakeholders are those having a direct impact on the HEI, while external stakeholders have a more indirect impact on the institutional life. Another dinstinction must be made: internal stakeholder serve the institution and contribute to it activities, while external stakeholders are influenced by the work and activities of the institution.

The full list of internal and external stakeholders included in the current assessment is:

INTERNAL STAKEHOLDERS	Students
	Students' union
	Alumni
	Professors
	Administrative staff
EXTERNAL STAKEHOLDERS	Ministry of Higher Education
	Central quality department
	Local authorities
	Private sector
	Research institutes
	Donors
	International organizations
	European Union
	NGOs

The participation dimension examine the role and the degree of impact for each internal and external stakeholder in relation to teaching, research and Third Mission activities. It measure the degree of engagement and participation of stakeholders in the institutional governance, in the decision-making process and in the evaluation of the outcomes of university activities.

The Diagnostic tool enables the realisation of a stakeholder map assessing the level of participation of each actor on the university functioning. This is complemented by a preliminary assessment of the importance and influence of each stakeholder on the institution (prioritization).

The stakeholder map can be used to describe the most important stakeholders of the institution. After the institution has identified its stakeholders, it can evaluate stakeholder relationships and develop them in a systematic manner following the principle of continuous improvement.

Annex I

Self-assessment coordination meeting PPT

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WP1 Update of needs analysis

Self-Assessment coordination meeting
18 March 2021

Topics of todays' meeting

1) What is the self-assessment?
2) Why are we doing the self-assessment?
3) Who will be doing the self-assessment?
4) How we will do the self-assessment?
5) When is the self-assessment taking place?

What is the self-assessment?

- A **self-evaluation** conducted by each Iraqi university.
- The self-evaluation is an **assessment of perceptions** of the staff working at the university in strategic positions.
- There is no right or wrong answer.
- It is a way to assess each governance dimension
  AUTONOMY – MANAGEMENT – ACCOUNTABILITY –PARTCIPATION
  in relation to each strategic activity of the university
  TEACHING, RESEARCH, THIRD MISSION

Why are we doing the self-assessment?

- The self-evaluation allows to identify **needs, weakness and limits** but also to be aware of **priorities and strengths** of each university involved in the project.
- It allows University Leaders (at different levels) to identify the dimensions and subdimensions of governance in need for improvement, starting from a self-evaluation of current governance arrangements at each HEIs.
- It may stay as an instrument for universities to evaluate the impact and effectiveness of future developments, in comparison to how things function today.

Who will be doing the self-assessment?

- Each HEI will involve 8 to 10 staff members covering strategic roles at the university
- Proposal: the Rector, two Vice-Rectors, the General Director in charge for administrative and financial management, the Director of the International Relations office, the Director of the Quality Assurance office, Director of the department of Studies and Planning, Director of the Finance department.
- Are there any other figures worth to engage?

How we will do the self-assessment?

[practical details]

- Online, through an online questionnaire
- UNIMED has organized bilateral sessions with each HEI to grant real-time support and ease the process
- More voices from each institution will be collected
- At the very end, all answers by each institution are put together to have a comprehensive picture of the governance in each university. Then a comparative analysis is conducted to identify needs and priorities for the HE system in Iraq

How we will do the self-assessment?

[content under examination I]

- The self-assessment will be conducted on 4 governance dimensions.

AUTONOMY	ACCOUNTABILITY	MANAGEMENT TECHNIQUES	PARTICIPATION
To what extent the HEI is able to decide freely in relation to the central authority	To what extent the HEI is accountable to Or is held to be accountable by stakeholders	To what extent the HEI is able to effectively use managerial tools	To what extent stakeholders are engaged in strategic decision making

- First universities will be asked to **assess the importance of each dimension** for their university, so to define PRIORITY FACTORS and weight answers.

How we will do the self-assessment?

[content under examination II]

- Then universities will be asked to **evaluate (on a scale 1 to 5) their capacity/position** on each indicator identified for the 4 dimensions and sub-dimensions.
- Autonomy is assessed in its different forms, that are Organizational autonomy, Academic autonomy, autonomy in deciding upon Human Resources and Financial autonomy.
- The Management Techniques evaluated are: Quality Assurance mechanisms, Effective use of performance planning tools, Effective use of evaluation results.
- Accountability is assessed in relation to decisions about Organizational aspects, Academic issues, Human Resources management and decisions about Financial issues.
- The assessment of the Participation dimension is carried out to evaluate the participation of internal and external stakeholders in in the institutional life and their involvement in the decision-making process.

When is the self-assessment taking place?

UNIVERSITY	DATE	TIME
University of Mosul	23 MARCH	9.00 – 11.00 CET 11.00 - 13.00 Iraqi time
University of Baghdad	1 APRIL	9.00 – 11.00 CET 11.00 - 13.00 Iraqi time
University of Basrah	24 MARCH (TBC)	9.00 – 11.00 CET 11.00 - 13.00 Iraqi time
Al-Furat Al-Awsat Technical University	31 MARCH	12.00 – 14.00 CET 14.00 – 16.00 Iraqi time
Sumer University	25 MARCH	9.00 – 11.00 CET 11.00 - 13.00 Iraqi time
Al-Qasim Green University	25 MARCH	12.00 – 14.00 CET 14.00 – 16.00 Iraqi time
University of Basrah Oil and Gas	DATE TBC	
Al Karkh University for Science	29 MARCH	10.00 – 12.00 CET 12.00 – 14.00 Iraqi time
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INsPIRE

Innovative Governance Practices in the Higher Education Institutions in Iraq

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Annex II

INsPIRE Diagnostic Tool explanatory document

INsPIRE

Innovative Governance Practices in the Higher Education Institutions in Iraq

A diagnostic tool to assess governance

This document provides a general description of the diagnostic tool which will be used in the framework of the INsPIRE project to assess governance dimensions at the Iraqi HEIs. The main dimensions, subdimensions and indicators of governance are reported and explained, in relation to each strategic activity of the university, namely teaching, research and third mission.

The tool enables the identification of the preliminary training needs at the level of dimensions and subdimensions for improving governance arrangements, and allows universities to conduct a self-evaluation of current governance arrangements at the level of basic indicators.

The results of the combination of these two steps may help each HEI to drive the organizational changes required to improve governance systems.

General structure

The tool used in INsPIRE is an adaptation of the Diagnostic Tool developed by the coordinating institution, the University of Siena, for the project UNIGOV, Improving Governance Practices and Palestinian Higher Education Institutions. The UNIGOV project has developed in the framework of the WP1 Preparation and desk research, a governance diagnostic tool to provide a clear understanding about the current practices of university governance in the Palestine universities members of the consortium. The tool has been developed by the DISAG Department of the University of Siena who was the leader of the WP1, Preparation and desk research (https://www.unisi.it/dipartimenti/dipartimento-studi-aziendali-e-giuridici).

The Diagnostic Tool has been developed based on the findings of the literature review and the HEI governance models analyzed, it is designed as a matrix where the horizontal axis shows the strategic activities of each HEI (TEACHING, RESEARCH and the so- called THIRD MISSION) while the vertical axis shows the different dimensions (AUTONOMY, ACCOUNTABILITY, MANAGEMENT TECHNIQUES and PARTICIPATION) and subdimensions characterizing the issue of governance.

In the framework of the INsPIRE project, the Diagnostic Tool has been adapted into an online questionnaire using a digital tool for data collection, to facilitate the filling of information on behalf of the Iraqi partners and ease the analysis of statistical data on behalf of the UNIMED team, responsible for the Work Package 1 Update of Needs Analysis. The rationale behind the tool has been maintained, structuring the questionnaire to allow an assessment of each governance dimension in relation to each strategic activity.

How will the self-assessment take place

Due to the difficulties related to the COVID-19 pandemic which has prevented the researchers to travel to Iraq, the self-assessment exercise must be conducted online. UNIMED has arranged bilateral meetings with each institution to conduct the self-assessment with ongoing real-time support to immediately clarfiy doubts and ensure a correct interpretation of concepts and information. The current document complement the preparation of the self-evaluation, providing Partners with a guidance in the process.

The self-assessment is conducted in different steps:

1) First Partners are asked to prioritize goverance dimensions, to allow for the creation of a wheight system and the identification of the aspects deemed more relevant (priority factors)
2) Second, the self-evaluation is conducted online by each Partner University in Iraq, involving 8 to 10 staff members covering strategic roles at the university, such as: the Rector, two Vice-Rectors, the General Director in charge for administrative and financial management, the Director of the International Relations office, the Director of the Quality Assurance office, Director of the department of Studies and Planning, Director of the Finance department. The self-assessment is conducted on 3 governance dimensions (AUTONOMY, MANAGEMENT TECHNIQUES, ACCOUNTABILITY), with subdimensions and specific indicators.
3) An assessment of the PARTICIPATION dimension is carried out, which allows the identification of relevant stakeholders in relation to each specific dimension and activity, resulting in a stakeholder's map describing to what extent these stakeholders take part in the institutional life.

Governance dimensions under examination

The following figure illustrates a general overview of the strategic activities and dimensions of each HEI. HEI activities have traditionally been understood as having two missions: **teaching and research**. In recent decades, HEIs have moved from focusing exclusively on these two missions, to be considered as key actors of economic and cultural growth, transforming themselves into institutions engaged with industry and society at large. For this reason, the concept of **'third mission'** emerged.

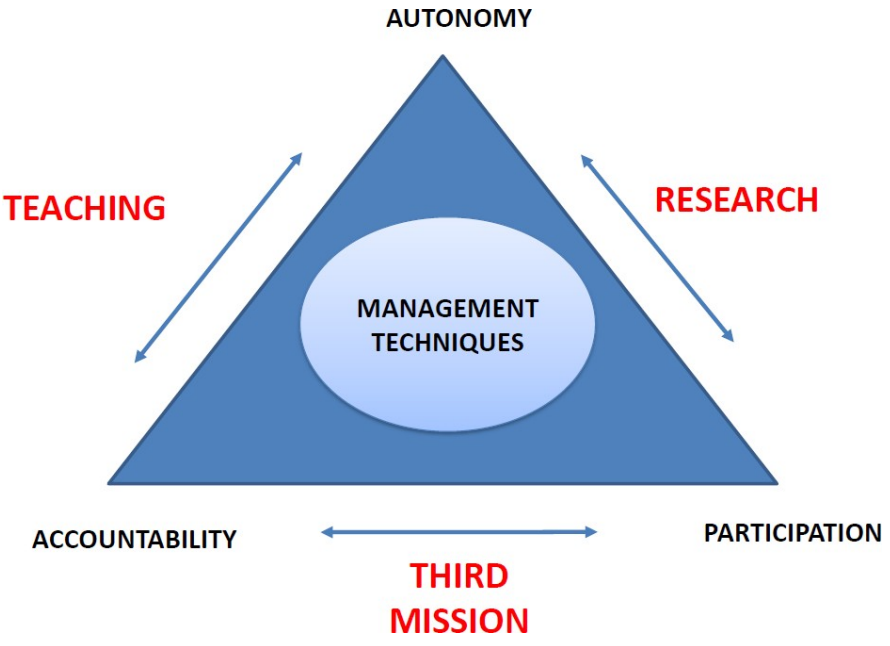
The concept of 'third mission' has a broad meaning, covering all those requirements that call for HEIs to play a much more visible and stronger role in the design of modern knowledge societies by providing socially, culturally and economically usable knowledge. Many different activities are included in the definition of 'third mission', with the focus on three main areas:

a) HEI-economy interaction in a broad sense, with relations with different stakeholders from the economic environment (technology transfer and innovation);

b) Social engagement and knowledge transfer: interactions between HEIs and society (such as museum management, dissemination activities, cultural events) with the aim of bringing about benefits for society;
c) Placement mechanisms for graduated students (e.g. student follow up, placement offices).

Activities and dimensions

Source: Elaboration of the University of Siena



The three strategic activities should be examined across the governance dimensions identified: Autonomy, Management Techniques, Accountability. Each dimension covers separate aspects that are interrelated with each other but should be examined in a separate way .

DIMENSION	DIMENSION	DIMENSION	DIMENSION
AUTONOMY	ACCOUNTABILITY	MANAGEMENT TECHNIQUES	PARTICIPATION
To what extent the HEI is able to decide freely in relation to the central authority	To what extent the HEI is accountable to Or is held to be accountable by stakeholders	To what extent the HEI is able to effectively use managerial tools	To what extent stakeholders are engaged in strategic decision making

Each dimension is broken down into a number of subdimensions, each one highlighting a specific aspect related to the university governance. For the specific purpose of the self-assessment for the INsPIRE project, the following subdimensions are taken in consideration:

GOVERNANCE DIMENSIONS	SUBDIMENSIONS
AUTONOMY	Organizational autonomy Academic autonomy Autonomy in decision-making about Human Resources Financial autonomy
MANAGEMENT TECHNIQUES	Definition of Quality Assurance mechanisms Effective use of Performance planing tools Effective use of Evaluation results
ACCOUNTABILITY	Organizational accountability Academic accountability Human Resources accountability Financial accountability

Each subdimension provides specific indicators that should be investigated during the self-evaluation step. Indicators serve to point-out different tasks, activities or bodies to which dimensions relate to. The following sections provide a detailed description of dimensions, subdimensions and specific indicators.

The self-evaluation of current governance arrangements will be realized at the level of the basic indicators, according to the a scale 1 to 5, where 1 is low and 5 is high. There is no right or wrong answer in the self-assessment, but it is a collection of perceptions on behalf of the university staff members.

Autonomy dimension

Autonomy concerns the relationship between each HEI and the central authority. It measures how freely HEIs can take decisions in the context of the rules and regulations that shape each higher education system. Autonomy can be examined according to four subdimensions:

Dimensions	Meaning	Subdimensions	Meaning
AUTONOMY	To what extent the HEIs is able to decide freely in relation to the central authority	Organisational	It refers to the degree of freedom in decision making on institution internal organisation.
		Academic	It refers to the degree of freedom in decision making on academic issues.
		Human resources	It refers to the degree of freedom in decision making on human resources management (HRM).
		Financial	It refers to the degree of freedom in decision making on financial issues.

Organisational autonomy

This encompasses two main aspects: governance and leadership model, and organisation of the internal structures at the university. It refers to the degree of autonomy of the institution in deciding upon its internal organizations, the function and composition of governing bodies, the selection and dismissal criteria for the members involved in the governing bodies.

The subdimensions and related indicators investigate to what extent national regulation have a say in the definition of the organizational aspects at the HEI and / or whether each HEI can define its own internal regulation about the organizational structure.

Academic autonomy

It refers to the degree of freedom in taking decisions on acadmic issues, in relation to the three strategic activities of the institution. Academic indicators with reference to teaching activity refer to the decisions on the overall number of students, student's selection, introduction of new programs, design of course content and the choice of the language of instruction.

Academic indicators with reference to research activity are those reletated to the autonomy in deciding upon the defintion of research programs and the acquisition of research tool and tehcnical

instruments (such as instruments for laboratories or software) that can be regulated by the central authority or freely managed by institutions.

Indicators in relation to the university Third Mission refer to the decisions related to the socio-economic activities managed by HEIs (such as museum management or medical laboratories, dissemination activities, etc), student follow-up mechanisms (mechanisms to monitor the employment of students after graduation), set-up of student placement office (office that offers students career advices and help in finding employment) that can be regulated by the central authority or freely managed by institutions. Central authorities may impose which kind of activities can be pursued or may impose time limits to these activities.

Human resources autonomy

Autonomy in decision-making about human resources management relates to the freedom in taking decisions about HR management. Indicators relate to human resources management for both academic and administrative staff. HR can be managed according to a strong dedicated regulation decided by national law and central administrative levels or can be freely managed according to internal rules (subject only to national labour regulation). Indicators relate to salaries and dismissal for academic and adminitrative staff involved in both teaching and research activities. For 'third mission' activities, the central authority may impose time limits for staff involvement or the decision may be at the institutional level, depending on the degree of autonomy granted to the university in decision.

Financial autonomy

Financial autonomy relates to the capcity of university to take autonomous decision in financial matters. Financial indicators refer to financial resources that can be provided by a central authority or can be freely obtained on the market through competitions mechanisms. The degree of autonomy related to financial resources (both for the typology of eligible funds and for resource allocation) may vary for the different activities of HEIs and include the capacity of the institution to attract funds.

Management techniques dimension

The management techniques dimension is related to the use of managerial tools for the governance and management of the overall organisation, tools which are supposed to replace, whenever possible, a bureaucratic approach linked to formal procedure fulfilment rather than result achievement. A well- developed management system should be aligned to strategic goals, that should in turn reflect social needs. The translation of mission and strategic goals into evaluable objectives and actions leads to possibility to assess the impacts of activities. From a practical point of view, the dimension is broken down into three subdimensions, each step being closely integrated with the others and the overall managerial approach.

The subdimensions related to Management techniques are the following:

Dimension	Meaning	Subdimensions	Meaning
MANAGEMENT TECHNIQUES	To what extent the HEis is able to effectively use managerial tools	Definition of Quality Assurance mechanisms	If refers to the degree of effectiveness in setting and quality procedures
		Effective use of performance planning tools	It refers to the degree of effetiveness in the use of planning tools
		Effective use of evaluation results	It refers to the degree of effetiveness in the use of evaluation results for decision-making

Management techniques – Quality assurance system

Quality assurance system refers to the use of standard procedures for managing the overall institutional system, both according to international standards and to the regulations of the national agency for accreditation and quality. In this section, the analysis focuses on the definition of criteria and procedures for quality assurance, to create standards to be used for all the activities carried out by HEIs (ex-ante).

Quality assurance system indicators with reference to teaching activities refer to the use of standard procedures for evaluation of academic courses and teaching methodologies, and for the evaluation of other academic issues such as student services and student performance.

Quality assurance system indicators with reference to research activities refer to the use of standard procedures for the design of research prgrams, and the acquisition of technical instruments and tools.

Quality assurance system indicators with reference to the university's Third Mission refer to the use of standard procedures for the realization of socioeconomic activities, for the students' follow-up, and the students' placement office management.

Management techniques – Performance planning tools

The evaluation on the planning system refers to the degree of effectiveness in the use of planning tools for the activities of the institution. Indicators refer to the effective use of planning tools in relation to the three core activities of the university, teaching research and third mission, such as the capacity to effectively desgin strategic documents with short-term and long-term goals, and the capacity to design effective budget documents with short-term operational goals.

Management techniques – Evaluation results

It refers to the degree of effetiveness in the use of evaluation results for decision-making (ex-post). Indicators refer to the effective use of the results of performance evaluations tot realise a fair and coherent decision-making process, both on insitutional overall performance and on individual employees. The evaluation should be based on the quality procedures and quality criteria set up by the quality assurance system.

Accountability dimension

The basic meaning of accountability can be outlined as an account-giving relation between individuals or organisations. In a public sector context, it plays a decisive role because it counterbalances the delegation of power from the central autority to institutions.

The more a system is centralized, the more institutions are less accountable – they simply comply with the decisions of the central authority. The more a system is decentralized, the more institutions must be accountable or held accountable for their own decisions. As long as universities gain autonomy from a central authority, they need to be accountable, i.e. responsible for their own decisions. Accountability also plays a fundamental role for private HEIs because of the competition mechanisms in relation to both resources acquisition and student (customer) satisfaction.

The dimension measures the degree to which the HEI is accountable to or is held to be accountable by stakeholders. It measures to what extent the institution is able to take responsibility and ensure transparency for the decisions taken.

The subdimensions related to Accountability are the following:

Dimensions	Meaning	Subdimensions	Meaning
ACCOUNTABILITY	To what extent the HEi is accountable to or is held to be accountable by stakeholders	Organisational	It refers to the degree of effectiveness in being accountable to or in being held to be accountable by stakeholders in organisational topics.
		Academic	It refers to the degree of effectiveness in in being accountable to or in being held to be accountable by stakeholders in academic topic.
		Human resources	It refers to the degree of effectiveness in being accountable to or in being held to be accountable by stakeholders in HR topic.
		Financial	It refers to the degree of effectiveness in being accountable to or in being held to be accountable by stakeholders in financial topic

Organisational accountability

It refers to the degree of effectiveness in being accountable on organisational issues, especially on those decisions about the organizational structure of the institution, the functioning of governing bodies and the compliance with the Mission and Vision of the instituion and the planning documents (i.e. strategic plans and goals). It applies in the same way to teaching, research and TM activities.

Academic accountability

This refers to the degree of effectiveness in being accountable for the decisions taken on academic issues. Academic indicators with reference to teaching refer to student performance, the provision and effectiveness of student services, the academic workload.

Academic indicators with reference to research activities refer to the accountability for research results (e.g. number publications/year, ranking publication/year) and the acquisition of research tools and technical instruments.

Academic indicators with reference to Third Mission of the university refer to the decisions taken on setting-up socioeconomic activities (e.g. museum management or dissemination activities), student follow-up, and the outcome of the students' placement office work.

Human resources accountability

Accountability in relation to human resources refers to the capacity of institutions to be accountable for the decisions taken in managing their staff, with a specific attetion towards the disemissal and promotion of both academic and adminitrative staff, as well as the implementation of punitive sanctions against unethical behavious.

Financial accountability

Accountability in financial matters refer to the capacity of institutions to be accountable for the decisions about funds allocation, budget sources and the debt level of the university. It strongly relates to the financial autonomy: the more the university is independent in taking decisions about financial allocation and funds sources, the more it is accountable for these decisions. The more a system is centralized, the more university have a low degree of accountability on specific financial decisions because these are taken directly by the central authority.

Participation dimension

Participation means the engagement of stakeholders in the overall HEI governance system. Different stakeholders can influence the decision-making process: internal stakeholders, meaning those internal at the institution; and external stakeholders, meaning those acting in the environment in which the university operates.

According to R. Edward Freeman, a stakeholder is "any group or individual who can affect or is affected by the achievement of the organisation's objectives". The study uses the concept of stakeholder to mean all those bodies that have an interest in the activities of the given organisation. Stakeholders have been considered as those organisations, networks and private people who are able to influence the objectives and activities of the organisation (Kettunen 2014).

From this perspective, a first general distinction is made between internal and external stakeholders. Internal stakeholders are those having a direct impact on the HEI, while external stakeholders have a more indirect impact on the institutional life. Another dinstinction must be made: internal stakeholder serve the institution and contribute to it activities, while external stakeholders are influenced by the work and activities of the institution.

The full list of internal and external stakeholders included in the current assessment is:

INTERNAL STAKEHOLDERS	Students
	Students' union
	Alumni
	Professors
	Administrative staff
EXTERNAL STAKEHOLDERS	Ministry of Higher Education
	Central quality department
	Local authorities
	Private sector
	Research institutes
	Donors
	International organizations
	European Union
	NGOs

The participation dimension examine the role and the degree of impact for each internal and external stakeholder in relation to teaching, research and Third Mission activities. It measure the degree of engagement and participation of stakeholders in the institutional governance, in the decision-making process and in the evaluation of the outcomes of university activities.

The Diagnostic tool enables the realisation of a stakeholder map assessing the level of participation of each actor on the university functioning. This is complemented by a preliminary assessment of the importance and influence of each stakeholder on the institution (prioritization).

The stakeholder map can be used to describe the most important stakeholders of the institution. After the institution has identified its stakeholders, it can evaluate stakeholder relationships and develop them in a systematic manner following the principle of continuous improvement.

Assessment results

The UNIMED research team will collect a minimum of 8 to 10 questionnaire from each institution. A first analysis will be made to have a comprehensive picture for each institution, weighting answers upon the priority factors identified at the very beginning, and resulting in an average of the answers collected for each university. A second anaysis will be conducted through a comparison of the results for the 10 institutions, to identify training needs and those governance dimensions and subdimensions in need of extra attention in the future instutional developments.

Annex III

Diagnostic Tool self-assessment questionnaire [PDF version]

Welcome to the institutional self-assessment of university governance in the framework of the INsPIRE project.

Section A: Prioritization governance DIMENSIONS

You are asked to assess the IMPORTANCE of each governance DIMENSION in relation to the effective functioning of the institution.

A1. Please evaluate from 1 (low) to 5 (high) how IMPORTANT is each of the following governance DIMENSIONS.

	1 (low)	2	3	4	5 (high)
AUTONOMY	☐	☐	☐	☐	☐
MANAGEMENT TECHNIQUES	☐	☐	☐	☐	☐
ACCOUNTABILITY	☐	☐	☐	☐	☐
PARTICIPATION	☐	☐	☐	☐	☐

Section B: Prioritization governance SUB-DIMENSIONS

You are asked to assess the IMPORTANCE of each governance SUB-DIMENSION.

B1. Please evaluate from 1 (low) to 5 (high) how important is each SUB-DIMENSION of the INSTITUTIONAL AUTONOMY.

	1 (low)	2	3	4	5 (high)
ORGANIZATIONAL AUTONOMY	☐	☐	☐	☐	☐
ACADEMIC AUTONOMY	☐	☐	☐	☐	☐
AUTONOMY IN DECISION-MAKING ABOUT HUMAN RESOURCES	☐	☐	☐	☐	☐
FINANCIAL AUTONOMY	☐	☐	☐	☐	☐

B2. Please evaluate from 1 (low) to 5 (high) how important is each governance SUB-DIMENSION of the MANAGEMENT TECHNIQUES.

	1 (low)	2	3	4	5 (high)
DEFINITION OF QUALITY ASSURANCE MECHANISMS	☐	☐	☐	☐	☐
EFFECTIVE USE OF PERFORMANCE PLANNING TOOLS	☐	☐	☐	☐	☐
EFFECTIVE USE OF EVALUATION RESULTS	☐	☐	☐	☐	☐

B3. Please evaluate from 1 (low) to 5 (high) how important is each SUB-DIMENSION related to institutional ACCOUNTABILITY.

	1 (low)	2	3	4	5 (high)
ORGANISATIONAL ACCOUNTABILITY	☐	☐	☐	☐	☐
ACADEMIC ACCOUNTABILITY	☐	☐	☐	☐	☐
HUMAN RESOURCES ACCOUNTABILITY	☐	☐	☐	☐	☐
FINANCIAL ACCOUNTABILITY	☐	☐	☐	☐	☐

B4. Please evaluate from 1 (low) to 5 (high) how important is the PARTICIPATION of INTERNAL and EXTERNAL stakeholders in the institutional life.

	1	2	3	4	5
INT: Students	☐	☐	☐	☐	☐
INT: Students unions	☐	☐	☐	☐	☐
INT: Alumni	☐	☐	☐	☐	☐
INT: Professors	☐	☐	☐	☐	☐
INT: Administrative staff	☐	☐	☐	☐	☐
EXT: Ministry of Higher Education	☐	☐	☐	☐	☐
EXT: Central quality department	☐	☐	☐	☐	☐
EXT: Local authorities	☐	☐	☐	☐	☐
EXT: Private sector	☐	☐	☐	☐	☐
EXT: Research institutes	☐	☐	☐	☐	☐
EXT: Donors	☐	☐	☐	☐	☐
EXT: International organisations	☐	☐	☐	☐	☐
EXT: European Union	☐	☐	☐	☐	☐
EXT: NGOs	☐	☐	☐	☐	☐

Section C: Assessment of INSTITUTIONAL AUTONOMY

You are asked to ASSESS to what extent the instituion is ABLE TO DECIDE FREELY IN RELATION TO THE CENTRAL AUTORITY.

C1. Please evaluate on a scale 1 (low) to 5 (high) the degree of ORGANIZATIONAL AUTONOMY of the governing bodies entitled to decide on TEACHING activities.

	1	2	3	4	5
Functions of governing bodies	☐	☐	☐	☐	☐
Composition of governing bodies	☐	☐	☐	☐	☐
Selection criteria of governing bodies	☐	☐	☐	☐	☐
Dismissal criteria of governing bodies	☐	☐	☐	☐	☐

C2. Please evaluate on a scale 1 (low) to 5 (high) the degree of ORGANIZATIONAL AUTONOMY of the governing bodies entitled to decide on RESEARCH activities.

	1	2	3	4	5
Functions of governing bodies	☐	☐	☐	☐	☐
Composition of governing bodies	☐	☐	☐	☐	☐
Selection criteria of governing bodies	☐	☐	☐	☐	☐
Dismissal criteria of governing bodies	☐	☐	☐	☐	☐

C3. Please evaluate on a scale 1 (low) to 5 (high) the degree of ORGANIZATIONAL AUTONOMY of the governing bodies entitled to decide on the THIRD MISSION of the university.

	1	2	3	4	5
Functions of governing bodies	☐	☐	☐	☐	☐
Composition of governing bodies	☐	☐	☐	☐	☐
Selection criteria of governing bodies	☐	☐	☐	☐	☐
Dismissal criteria of governing bodies	☐	☐	☐	☐	☐

C4. Please evaluate on a scale 1 (low) to 5 (high) the degree of ACADEMIC AUTONOMY in relation to TEACHING activities.

	1	2	3	4	5
Overall students number	☐	☐	☐	☐	☐
Students' selection	☐	☐	☐	☐	☐

	1	2	3	4	5
Introduction of programs	☐	☐	☐	☐	☐
Design of course contents	☐	☐	☐	☐	☐
Choice of the language of instruction	☐	☐	☐	☐	☐

C5. Please evaluate on a scale 1 (low) to 5 (high) the degree of ACADEMIC AUTONOMY in relation to RESEARCH activities.

	1	2	3	4	5
Definition of research programs	☐	☐	☐	☐	☐
Acquisition of research tools / technical instruments	☐	☐	☐	☐	☐

C6. Please evaluate on a scale 1 (low) to 5 (high) the degree of ACADEMIC AUTONOMY in relation to the THIRD MISSION of the university.

	1	2	3	4	5
Set-up of socio-economic activities (such as museum management, medical laboratories…)	☐	☐	☐	☐	☐
Set-up of students' follow-up mechanisms	☐	☐	☐	☐	☐
Set-up of students' placement office	☐	☐	☐	☐	☐

C7. Please evaluate on a scale 1 (low) to 5 (high) the degree of AUTONOMY in taking decisions on HUMAN RESOURCES involved in TEACHING activities.

	1	2	3	4	5
Salaries for academic staff	☐	☐	☐	☐	☐
Salaries for administrative staff	☐	☐	☐	☐	☐
Dismissal for academic staff	☐	☐	☐	☐	☐
Dismissal for administrative staff	☐	☐	☐	☐	☐

C8. Please evaluate on a scale 1 (low) to 5 (high) the degree of AUTONOMY in taking decisions on HUMAN RESOURCES involved in RESEARCH activities.

	1	2	3	4	5
Salaries for academic staff	☐	☐	☐	☐	☐
Salaries for administrative staff	☐	☐	☐	☐	☐

	1	2	3	4	5
Dismissal for academic staff	☐	☐	☐	☐	☐
Dismissal for administrative staff	☐	☐	☐	☐	☐

C9. Please evaluate on a scale 1 (low) to 5 (high) the degree of AUTONOMY iin taking decision on HUMAN RESOURCES involved in the THIRD MISSION of the university.

	1	2	3	4	5
Percentage of dedicated time to support Third Mission activities	☐	☐	☐	☐	☐

C10. Please evaluate on a scale 1 (low) to 5 (high) the degree of FINANCIAL AUTONOMY in deciding upon the financial resources for TEACHING activities.

	1	2	3	4	5
Buy / Sell assets	☐	☐	☐	☐	☐
Decision on how to allocate public funds	☐	☐	☐	☐	☐

C11. Please evaluate on a scale 1 (low) to 5 (high) the degree of FINANCIAL AUTONOMY in deciding upon the financial resources for RESEARCH activities.

	1	2	3	4	5
Buy / Sell assets	☐	☐	☐	☐	☐
Attraction of funds from the private sector	☐	☐	☐	☐	☐
Attraction of funds from EU and international organizations	☐	☐	☐	☐	☐
Decision on how to allocate private funds	☐	☐	☐	☐	☐

C12. Please evaluate on a scale 1 (low) to 5 (high) the degree of FINANCIAL AUTONOMY in deciding upon the financial resources for activities related to the THIRD MISSION of the university.

	1	2	3	4	5
Buy / Sell assets	☐	☐	☐	☐	☐
Investement of its own resources	☐	☐	☐	☐	☐
Attraction of funds from the private sector	☐	☐	☐	☐	☐
Attraction of funds from EU and international organizations	☐	☐	☐	☐	☐
Decision on how to allocate private funds	☐	☐	☐	☐	☐

Section D: Assessment of MANAGEMENT TECHNIQUES

You are asked to ASSESS to what extent the Institution is ABLE TO EFFECTIVELY USE MANAGERIAL TOOLS.

D1. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the DEFINITION OF QUALITY PROCEDURES in relation to TEACHING activities.

	1	2	3	4	5
Definition of standard procedures for the evaluation of academic courses and teaching methodologies	☐	☐	☐	☐	☐
Definition of standard procedures for the evaluation of student services	☐	☐	☐	☐	☐
Definition of standard procedures for the evaluation of students' performance	☐	☐	☐	☐	☐

D2. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the DEFINITION of QUALITY PROCEDURES in relation to RESEARCH activities.

	1	2	3	4	5
Definiton of standard procedures for the design of research programs	☐	☐	☐	☐	☐
Definition of standard procedures for the acquisition of research tools / technical instruments	☐	☐	☐	☐	☐

D3. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the DEFINITION of QUALITY PROCEDURES in relation to the THIRD MISSION of the university.

	1	2	3	4	5
Definition of standard procedures for the realization of socio-economic activities	☐	☐	☐	☐	☐
Definition of standard procedures for the evaluation of students' follow-up	☐	☐	☐	☐	☐
Definition of standard procedures for the students' placement office management	☐	☐	☐	☐	☐

D4. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the use of PLANNING TOOLS for TEACHING activities.

	1	2	3	4	5
Planning documents (medium and long term strategic goals)	☐	☐	☐	☐	☐
Budget documents (short term operational goals)	☐	☐	☐	☐	☐

D5. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the use of PLANNING TOOLS for RESEARCH activities.

	1	2	3	4	5
Planning documents (medium and long term strategic goals)	☐	☐	☐	☐	☐

	1	2	3	4	5
Budget documents (short term operational goals)	☐	☐	☐	☐	☐

D6. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the use of PLANNING TOOLS for the activities related to the university's THIRD MISSION.

	1	2	3	4	5
Planning documents (medium and long term strategic goals)	☐	☐	☐	☐	☐
Budget documents (short term operational goals)	☐	☐	☐	☐	☐

D7. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the USE of EVALUATION RESULTS in relation to TEACHING activites.

	1	2	3	4	5
Use of data on organizational performance for decision-making	☐	☐	☐	☐	☐
Use of data on individual staff performance for decision-making	☐	☐	☐	☐	☐

D8. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the USE of EVALUATION RESULTS in relation to RESEARCH activites.

	1	2	3	4	5
Use of data on organizational performance for decision-making	☐	☐	☐	☐	☐
Use of data on individual staff performance for decision-making	☐	☐	☐	☐	☐

D9. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the USE of EVALUATION RESULTS in relation to the THIRD MISSION of the unversity.

	1	2	3	4	5
Use of data on organizational performance for decision-making	☐	☐	☐	☐	☐
Use of data on individual staff performance for decision-making	☐	☐	☐	☐	☐

Section E: Assessment of ACCOUNTABILITY

You are asked to ASSESS to what extent the Institution is ACCOUNTABLE to stakeholders.

E1. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for ORGANIZATIONAL aspects related to TEACHING.

	1	2	3	4	5
Compliance with the Mission and Vision of the institution	☐	☐	☐	☐	☐

	1	2	3	4	5
Compliance with planning documents (strategic plan)	☐	☐	☐	☐	☐
Organisation and functioning of institutional central governing bodies	☐	☐	☐	☐	☐

E2. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for ORGANIZATIONAL aspects related to RESEARCH activities.

	1	2	3	4	5
Compliance with the Mission and Vision of the institution	☐	☐	☐	☐	☐
Compliance with planning documents (strategic plan)	☐	☐	☐	☐	☐
Organisation and functioning of institutional central governing bodies	☐	☐	☐	☐	☐

E3. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for ORGANIZATIONAL aspects related to the THIRD MISSION of the university.

	1	2	3	4	5
Compliance with the Mission and Vision of the institution	☐	☐	☐	☐	☐
Compliance with planning documents (strategic plan)	☐	☐	☐	☐	☐
Organisation and functioning of institutional central governing bodies	☐	☐	☐	☐	☐

E4. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for ACADEMIC ISSUES related to TEACHING.

	1	2	3	4	5
Students' performance	☐	☐	☐	☐	☐
Students services	☐	☐	☐	☐	☐
Academic workload	☐	☐	☐	☐	☐

E5. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for ACADEMIC ISSUES related to RESEARCH activities.

	1	2	3	4	5
Research results	☐	☐	☐	☐	☐
Acquisition of research tools/technical instruments	☐	☐	☐	☐	☐

E6. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for ACADEMIC ISSUES related to the THIRD MISSION of the university.

	1	2	3	4	5
Set-up of socio-economic activities (such as museum management, medical laboratories…)	☐	☐	☐	☐	☐
Student follow-up	☐	☐	☐	☐	☐
Set-up of student placement office	☐	☐	☐	☐	☐

E7. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for HUMAN RESOURCES MANAGEMENT in relation to TEACHING.

	1	2	3	4	5
Dismissal of academic staff	☐	☐	☐	☐	☐
Dismissal of administrative staff	☐	☐	☐	☐	☐
Promotions for academic staff	☐	☐	☐	☐	☐
Promotions for administrative staff	☐	☐	☐	☐	☐
Punitive sanctions against unethical behavior	☐	☐	☐	☐	☐

E8. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for HUMAN RESOURCES MANAGEMENT in relation to RESEARCH activities.

	1	2	3	4	5
Dismissal of academic staff	☐	☐	☐	☐	☐
Dismissal of administrative staff	☐	☐	☐	☐	☐
Promotions for academic staff	☐	☐	☐	☐	☐
Promotions for administrative staff	☐	☐	☐	☐	☐
Punitive sanctions against unethical behavior	☐	☐	☐	☐	☐

E9. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for HUMAN RESOURCES MANAGEMENT in relation to the THIRD MISSION of the university.

	1	2	3	4	5
Percentage of time dedicated to Third Mission activities	☐	☐	☐	☐	☐

	1	2	3	4	5
Punitive sanctions against unethical behavior	☐	☐	☐	☐	☐

E10. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for FINANCIAL decisions related to TEACHING.

	1	2	3	4	5
Budget sources	☐	☐	☐	☐	☐
Budget allocation	☐	☐	☐	☐	☐
Debt level	☐	☐	☐	☐	☐

E11. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for FINANCIAL decisions related to the THIRD MISSION of the university.

	1	2	3	4	5
Budget sources	☐	☐	☐	☐	☐
Budget allocation	☐	☐	☐	☐	☐
Debt level	☐	☐	☐	☐	☐

E12. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for FINANCIAL decisions related to RESEARCH activities.

	1	2	3	4	5
Budget sources	☐	☐	☐	☐	☐
Budget allocation	☐	☐	☐	☐	☐
Debt level	☐	☐	☐	☐	☐

Section F: Assessment on PARTICIPATION

You are asked to assess the DEGREE OF PARTICIPATION OF STAKEHOLDERS in the overall institutional functioning and their influence on decision-making.

F1. Please evaluate on a scale 1 (low) to 5 (high) the degree of involvement of INTERNAL stakeholders in TEACHING activities.

	1	2	3	4	5
Students	☐	☐	☐	☐	☐
Students unions	☐	☐	☐	☐	☐
Alumni	☐	☐	☐	☐	☐

	1	2	3	4	5
Professors	☐	☐	☐	☐	☐
Administrative staff	☐	☐	☐	☐	☐

F2. Please evaluate on a scale 1 (low) to 5 (high) the degree of involvement of INTERNAL stakeholders in RESEARCH activities.

	1	2	3	4	5
Students	☐	☐	☐	☐	☐
Students unions	☐	☐	☐	☐	☐
Alumni	☐	☐	☐	☐	☐
Professors	☐	☐	☐	☐	☐
Administrative staff	☐	☐	☐	☐	☐

F3. Please evaluate on a scale 1 (low) to 5 (high) the degree of involvement of INTERNAL stakeholders in the activities related to the university's THIRD MISSION.

	1	2	3	4	5
Students	☐	☐	☐	☐	☐
Students unions	☐	☐	☐	☐	☐
Alumni	☐	☐	☐	☐	☐
Professors	☐	☐	☐	☐	☐
Administrative staff	☐	☐	☐	☐	☐

F4. Please evaluate on a scale 1 (low) to 5 (high) the degree of involvement of EXTERNAL stakeholders in TEACHING activities.

	1	2	3	4	5
Ministry of Higher Education	☐	☐	☐	☐	☐
Central quality department	☐	☐	☐	☐	☐
Local authorities	☐	☐	☐	☐	☐
Private sector	☐	☐	☐	☐	☐
Research institutes	☐	☐	☐	☐	☐

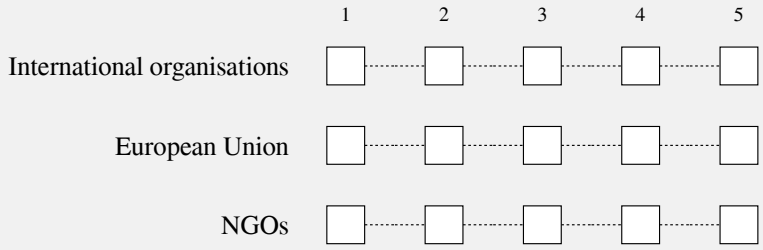
	1	2	3	4	5
Donors	☐	☐	☐	☐	☐
International organisations	☐	☐	☐	☐	☐
European Union	☐	☐	☐	☐	☐
NGOs	☐	☐	☐	☐	☐

F5. Please evaluate on a scale 1 (low) to 5 (high) the degree of involvement of EXTERNAL stakeholders in RESEARCH activities.

	1	2	3	4	5
Ministry of Higher Education	☐	☐	☐	☐	☐
Central quality department	☐	☐	☐	☐	☐
Local authorities	☐	☐	☐	☐	☐
Private sector	☐	☐	☐	☐	☐
Research institutes	☐	☐	☐	☐	☐
Donors	☐	☐	☐	☐	☐
International organisations	☐	☐	☐	☐	☐
European Union	☐	☐	☐	☐	☐
NGOs	☐	☐	☐	☐	☐

F6. Please evaluate on a scale 1 (low) to 5 (high) the degree of involvement of EXTERNAL stakeholders in the activities related to the university's THIRD MISSION.

	1	2	3	4	5
Ministry of Higher Education	☐	☐	☐	☐	☐
Central quality department	☐	☐	☐	☐	☐
Local authorities	☐	☐	☐	☐	☐
Private sector	☐	☐	☐	☐	☐
Research institutes	☐	☐	☐	☐	☐
Donors	☐	☐	☐	☐	☐



Thanks for your time!

UNIMED team